

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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MULLEN AUTOMOTIVE, INC. and  
ULYSSES NOVOA,

Plaintiff(s)

- v -

**RULE 7.1 STATEMENT**

TD AMERITRADE, INC., CHARLES  
SCHWAB & CO., INC., NATIONAL  
FINANCIAL SERVICES, LLC and JOHN  
DOES 1 THROUGH 10,

Defendant(s)

Case Number

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Pursuant to Federal Rule of Civil Procedure 7.1, the undersigned counsel for

MULLEN AUTOMOTIVE, INC. and ULYSSES NOVOA,

(a private non-governmental party or intervenor) certifies the following:

**Part I**

Complete this portion in all cases.

Identify any corporate affiliates, subsidiaries, and/or parent corporation and any publicly held corporation owning 10% or more of the stock of any non-governmental corporate party or intervenor. If there are no such corporations, the form shall so state.

There are no such corporations

**Part II**

Complete this portion only if jurisdiction is based on diversity of citizenship under 28 U.S.C. § 1332(a).

Name and identify the citizenship of every individual or entity whose citizenship is attributed to that party or intervenor for purposes of establishing jurisdiction based upon diversity of citizenship (note: the citizenship of an L.L.C. is the citizenship of each of its members).

N/A

8/29/23

Date

*Alan M. Pollack*

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Signature of Attorney

3759

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Attorney Bar Code

Note – This form is required to be filed when the action is filed in, or removed to, federal court, and when any later event occurs that could affect the court's jurisdiction under 28 U.S.C. § 1332(a).